



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

3

In the Patent Application of: **Delurgio et al.**Serial No. : **09/741,957**

Art Unit: Unknown

Filed: **December 20, 2000**

Examiner: Unknown

For: **FINANCIAL MODEL ENGINE**

Box: Non-Fee Amendment
Hon. Assistant Commissioner for Patents
Washington, D.C. 20231

Certificate of Mail by Express Mail
under 37 CFR § 1.10

March 9, 2001

EXPRESS MAIL LABEL NO.: **EK797900879US**Date of Deposit: March 9, 2001

Dear Sirs:

I hereby certify that this paper, and the enclosed Information Disclosure Statement form -- list of documents and eighteen (18) cited documents, and return postcard are being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above and is addressed to Box: NON-FEE AMENDMENT, Assistant Commissioner for Patents, Washington, D.C. 20231.

INFORMATION DISCLOSURE STATEMENT FILED**UNDER 37 C.F.R. §§ 1.56 AND 1.97(b)**

Pursuant to 37 C.F.R. § 1.56, Applicants bring the following documents to the Examiner's attention in the referenced application.

1. "Report of Novelty Search" by Patentec, dated Feb 9, 2001.
2. U.S. Patent Number 6,094,641 to K. Ouimet et al. entitled "METHOD FOR INCORPORATING PSYCHOLOGICAL EFFECTS INTO DEMAND MODELS."



3. U.S. Patent Number 6,078,893 to K. Ouimet et al. entitled "METHOD FOR STABILIZED TUNING OF DEMAND MODELS."
4. U.S. Patent Number 5,987,425 to Hartman et al. entitled "VARIABLE MARGIN PRICING SYSTEM."
5. U.S. Patent Number 5,878,400 to Carter, III entitled "METHOD AND APPARATUS FOR PRICING PRODUCTS IN MULTI-LEVEL PRODUCT AND ORGANIZATIONAL GROUPS."
6. U.S. Patent Number 5,873,069 to Reuhl et al. entitled "SYSTEM AND METHOD FOR AUTOMATIC UPDATING AND DISPLAY OF RETAIL PRICES."
7. U.S. Patent Number 5,822,736 to Hartman et al. entitled "VARIABLE MARGIN PRICING SYSTEM."
8. U.S. Patent Number 5,377,095 to Maeda et al. entitled "MERCHANDISE ANALYSIS SYSTEM WITH SALES DATA TABLE AND VARIOUS FUNCTIONS FOR PREDICTING THE SALE BY ITEM."
9. U.S. Patent Number 5,117,354 to Long et al. entitled "AUTOMATED SYSTEM FOR PRICING AND ORDERING CUSTOM MANUFACTURED PARTS."
10. U.S. Patent Number 6,032,125 to Ando et al. entitled "DEMAND FORECASTING METHOD, DEMAND FORECASTING SYSTEM, AND RECORDING MEDIUM."



11. U.S. Patent Number 6,009,407 to Garg entitled "INTEGRATED MARKETING AND OPERATIONS DECISIONS-MAKING UNDER MULTI-BRAND COMPETITION."
12. U.S. Patent Number 5,712,985 to Lee et al. entitled "SYSTEM AND METHOD FOR ESTIMATING BUSINESS DEMAND BASED ON BUSINESS INFLUENCES."
13. U.S. Patent Number 6,125,355 to Bekaert et al. entitled "PRICING MODULE FOR FINANCIAL ADVISORY SYSTEM."
14. U.S. Patent Number 6,032,123 to Jameson entitled "METHOD AND APPARATUS FOR ALLOCATING, COSTING, AND PRICING ORGANIZATIONAL RESOURCES."
15. U.S. Patent Number 6,029,139 to Cunningham et al. entitled "METHOD AND APPARATUS FOR OPTIMIZING PROMOTIONAL SALE OF PRODUCTS BASED UPON HISTORICAL DATA."
16. U.S. Patent Number 5,918,209 to Campbell et al. entitled "METHOD AND SYSTEM FOR DETERMINING MARGINAL VALUES FOR USE IN A REVENUE MANAGEMENT SYSTEM."
17. U.S. Patent Number 5,249,120 to Foley entitled "AUTOMATED MANUFACTURING COSTING SYSTEM AND METHOD."
18. U.S. Patent Number 5,063, 506 to Brockwell et al. entitled "COST OPTIMIZATION SYSTEM FOR SUPPLYING PARTS."



Citation of the above documents shall not be construed as an admission that the documents are necessarily prior art with respect to the referenced application. Furthermore, citation of the above documents shall not be construed as a representation that a search has been made or an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This paper is submitted within three months of the filing date of the referenced patent application in accordance with 37 C.F.R. § 1.97(b); therefore, no fee is believed to be required.

If the Examiner has any questions or comments with respect to the present application, the Examiner is respectfully invited to telephone the undersigned at (925) 570 8198.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Kang S. Lim".

Kang S. Lim
Attorney for Applicant(s)
Reg. No. 37,491

LAW OFFICES OF KANG S. LIM
PMB 436
3494 Camino Tassajara Road
Danville, CA 94506
Voice: (925) 570 8198
Facsimile: (925) 736 3974

WKSL IDS d



U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF DOCUMENTS CITED BY APPLICANT TO COMPLY WITH 37 C.F.R. 1.56	ATTY. DOCKET NO. DEM1P004	SERIAL NO. 09/741,957
	APPLICANT Delurgio et al.	
	FILING DATE 12/20/00	GROUP Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,094,641	07/25/00	Ouimet et al.	705	10	
	AB	6,078,893	06/20/00	Ouimet et al.	705	10	
	AC	5,987,425	11/16/99	Hartman et al.	705	20	
	AD	5,878,400	03/02/99	Carter, III	705	20	
	AE	5,873,069	02/16/99	Reuhl et al.	705	20	
	AF	5,822,736	10/13/98	Hartman et al.	705	1	
	AG	5,377,095	12/27/94	Maeda et al.	364	401	
	AH	5,117,354	05/26/92	Long et al.	364	401	

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	AI		"Report of Novelty Search" by Patentec, dated Feb, 9, 2001

EXAMINER	DATE CONSIDERED
----------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



LIST OF DOCUMENTS CITED BY APPLICANT TO COMPLY WITH 37 C.F.R. 1.56	DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. DEM1P004	SERIAL NO. 09/741,957
	APPLICANT Delurgio et al.		
	FILING DATE 12/20/00	GROUP Unknown	

U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AJ	6,032,125	02/29/00	Ando	705	10	
	AK	6,009,407	12/28/99	Garg	705	10	
	AL	5,712,985	01/27/98	Lee et al.	395	207	
	AM	6,125,355	09/26/00	Bekaert et al.	705	36	
	AN	6,032,123	02/29/00	Jameson	705	8	
	AO	6,029,139	02/22/00	Cunningham et al.	705	10	
	AP	5,918,209	06/29/99	Campbell et al.	705	5	
	AQ	5,249,120	09/28/93	Foley	364	401	

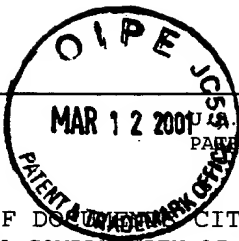
FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
----------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF DOCUMENTS CITED BY APPLICANT TO COMPLY WITH 37 C.F.R. 1.56	ATTY. DOCKET NO. DEM1P004	SERIAL NO. 09/741,957
	APPLICANT Delurgio et al.	
	FILING DATE 12/20/00	GROUP Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AR	5,063,506	11/05/91	Brockwell et al.	364	402	

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER	DATE CONSIDERED
----------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.